

April 27, 2011

**BY ECFS AND ULS**

Marlene H. Dortch, Esq.  
Secretary  
Federal Communications Commission  
445 Twelfth Street., S.W.  
Washington, D.C. 20554

**Re: *Applications of AT&T Inc. & Deutsche Telekom AG for Consent to Assign or  
Transfer Control of Licenses and Authorizations, WT Dkt No. 11-65***

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Dear Ms. Dortch:

On April 21, 2011, AT&T Inc. ("AT&T") and Deutsche Telekom AG ("DT") filed applications to transfer control of T-Mobile USA, Inc. and its subsidiaries from DT to AT&T. The curricula vitae of Professor Dennis W. Carlton, Dr. Allan Shampine, and Dr. Hal Sider, which should have been attached as Exhibit 1 to their declaration, was inadvertently omitted. Attached hereto is the omitted Exhibit 1.

In accordance with the Commission's rules and the direction of the staff, this letter is being filed electronically with your office for inclusion in the public record and is being uploaded into the Universal Licensing System as an attachment to File No. 0004669383.

Sincerely,



Peter J. Schildkraut  
Counsel for AT&T Inc.

Attachment

cc (by email): Best Copy and Printing, Inc. (FCC@BCPIWEB.COM)  
Kathy Harris, Esq. (kathy.harris@fcc.gov)  
Ms. Kate Matraives (catherine.matraives@fcc.gov)  
Jim Bird, Esq. (jim.bird@fcc.gov)

## **EXHIBIT 1**

**DENNIS WILLIAM CARLTON**

Senior Managing Director

April 2011

Business Address:           Compass Lexecon                               (312) 322-0215  
                                  332 South Michigan Avenue  
                                  Chicago, Illinois 60604

Email Address:               dcarlton@compasslexecon.com

**EDUCATION**

Ph.D., MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, Massachusetts: Economics, 1975.

M.S., MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, Massachusetts: Operations Research, 1974.

A.B., HARVARD UNIVERSITY (Summa cum laude): Applied Math and Economics, 1972.

**EMPLOYMENT**

COMPASS LEXECON (formerly Lexecon), Chicago, Illinois (2008 – present) Senior Managing Director; LEXECON INC., (1977 – 2006), President 1997 – 2001, Senior Managing Director 2003 - 2006

UNIVERSITY OF CHICAGO, Booth School of Business, Katherine Dusak Miller Professor of Economics (2008 – present); Professor of Economics (1984 – 2008); Law School, Professor of Economics (1980 – 1984); Department of Economics, Assistant Professor (1976 – 1979); Associate Professor (1979).

U.S. DEPARTMENT OF JUSTICE, Washington, District of Columbia (2006 – 2008) Deputy Assistant Attorney General for Economic Analysis, Antitrust Division

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, Massachusetts, Department of Economics (1975 – 1976) Instructor in Economics

**OTHER PROFESSIONAL EXPERIENCE**

HARVARD UNIVERSITY, Public Policy Summer Course in Economics (1977), Professor

BELL TELEPHONE LABORATORIES (Summers 1976, 1977)

JOINT CENTER FOR URBAN STUDIES OF M.I.T. AND HARVARD UNIVERSITY, Cambridge, Massachusetts (1974 - 1975)

CHARLES RIVER ASSOCIATES, Cambridge, Massachusetts (Summers 1971, 1972) Research Assistant

**FIELDS OF SPECIALIZATION**

Theoretical and Applied Microeconomics

Industrial Organization

### ACADEMIC HONORS AND FELLOWSHIPS

Panelist, Concurrences “New Frontiers of Antitrust” Conference, Paris, February 2011.  
Presenter, MIT “Economics of Antitrust” Symposium, January 2011  
Keynote Speaker, 21<sup>st</sup> Annual Workshop of the Competition Law & Policy Institute of New Zealand, 2010  
Keynote Speaker, Japanese Symposium on Competition, sponsored by Japan Fair Trade Commission, 2009  
Recipient of Inaugural Robert F. Lanzilotti Prize, awarded by the International Industrial Organization Society for Best Paper in Antitrust Economics, 2008  
Keynote Address to Israel Antitrust Conference, 2008  
Lewis Bernstein Memorial Antitrust Lecture, Washington, D.C., 2006  
Distinguished Visitor, University of Melbourne, April 2005  
Milton Handler Lecture, New York, 2004  
Keynote Address to the International Competition Network, Mexico, 2004  
Alexander Brody Distinguished Lecture, Yeshiva University, 2000  
Ph.D. Thesis chosen to appear in the Garland Series of Outstanding Dissertations in Economics  
Recipient of the 1977 P.W.S. Andrews Memorial Prize Essay, best essay in the field of Industrial Organization by a scholar under the age of thirty  
National Science Foundation Grant, 1977 - 1985  
Recipient of Post-doctoral Grant from the Lincoln Foundation, 1975  
National Science Foundation Fellowship, 1972 - 1975  
Phi Beta Kappa, 1971  
John Harvard Award, 1970  
Detur Book Prize, 1969  
Edwards Whitacker Award, 1969  
M.I.T., National Scholar Award, 1968

### PROFESSIONAL AFFILIATIONS AND ACTIVITIES

Advisory panel to the Department of Justice and the FTC on the merger guidelines, 2010  
Co-editor, Journal of Law and Economics, 1980 - present  
Visiting Committee, MIT, Department of Economics, 1995 - present  
Member, Advisory Board, Economics Research Network, 1996 - present  
Member, Advisory Board of Antitrust and Regulation Abstracts, Social Science Research Network, 1998 - present  
Advisory Board, Massachusetts Institute of Technology, Department of Economics, 1999 - present  
Editorial Board, Competition Policy International (CPI), 2010 – present, Co-Editor, Competition Policy International (CPI), 2004 – 2009  
Member, Economic Task Force – Antitrust Division, American Bar Association, 2010 – present  
Advisory Board, Journal of Competition Law and Economics 2004- present  
Deputy Assistant Attorney General for Economic Analysis, Antitrust Division, U.S. Department of Justice, 2006 - 2008  
Presidential Appointment to the Antitrust Modernization Commission, 2004 - 2007  
Invited Panelist at Public Hearing on the Retail Banking Sector Inquiry: Payment Cards, before the European Commission in Brussels, Belgium, July 17, 2006.  
Consultant on Merger Guidelines to the FTC, 2003  
Professor, George Mason Institute for Judges, October 2001  
Chairman, FTC Round Table on Empirical Industrial Organization (September 11, 2001)  
Participant in the Round Table on the Economics of Mergers Between Large ILECS before the Federal Communications Commission, February 5, 1999

Member, Steering Committee, Social Science Research Council, Program in Applied Economics, 1997 - 1999  
Participant in roundtable discussions on "The Role of Classical Market Power in Joint Venture Analysis," before the Federal Trade Commission, November 19, 1997 and March 17, 1998.  
Participant in meetings with Committee of the Federal Reserve on Payment Systems, June 5, 1997  
Associate Editor, Regional Science and Urban Economics, 1987 - 1997  
Resident Scholar, Board of Governors of the Federal Reserve System, Summer, 1995  
Accreditation Committee, Graduate School of Business, Stanford University, 1995  
Associate Editor, The International Journal of Industrial Organization, 1991 - 1995  
Editorial Board, Intellectual Property Fraud Reporter, 1990 - 1995  
Consultant on Merger Guidelines to the U.S. Department of Justice, 1991 - 1992  
Member, Advisory Committee to the Bureau of the Census, 1987 - 1990  
National Bureau of Economic Research, Research Associate  
Member, American Economics Association, Econometrics Society

### BOOKS

Market Behavior Under Uncertainty, Ph.D. Thesis, Massachusetts Institute of Technology (September 1975); Garland Publishing (1984).

Modern Industrial Organization, Scott, Foresman & Co., co-authored with Jeffrey Perloff, first edition (1990), (Chapter 17 of first edition reprinted as "The Economics of Information" for the University of Connecticut, Food Marketing Policy Center (1989)), second edition (1994), translated into Chinese, French, Hungarian and Italian; Addison Wesley Longman, third edition (2000), fourth edition (2005), translated into Chinese (2009).

### RESEARCH PAPERS

"The Equilibrium Analysis of Alternative Housing Allowance Payments," (with Joseph Ferreira) Chapter 6 of Analysis of a Direct Housing Allowance Program, The Joint Center for Urban Studies of M.I.T. and Harvard University, (July 1975).

"Theories of Vertical Integration," presented at Fourth Annual Telecommunications Conference. Appears in a volume of Proceedings of the Fourth Annual Telecommunications Conference, Office of Telecommunications Policy, (April 1976).

"Uncertainty, Production Lags, and Pricing," American Economic Review, (February 1977).

"Selecting Subsidy Strategies for Housing Allowance Programs," (with Joseph Ferreira) Journal of Urban Economics, (July 1977).

"Peak Load Pricing With Stochastic Demand," American Economic Review, (December 1977). (Reprinted in Economic Regulation edited by P.L. Joskow, Edward Elgar Publishing Limited, 1998 and Reprinted in The Economics of Public Utilities edited by Ray Rees, Professor of Economics at the University of Munich, Germany, 2005.)

"The Distribution of Permanent Income," Income Distribution and Economic Inequality, edited by Zvi Griliches, et al. (Halsted Press, 1978).

"Vertical Integration--An Overview," in Congressional Record Hearings on the Communications Act of 1978. Bill H.R. 13105, (August 3, 1978).

- "Market Behavior with Demand Uncertainty and Price Inflexibility," American Economic Review, (September 1978).
- "Vertical Integration in Competitive Markets Under Uncertainty," Journal of Industrial Economics, (March 1979). Awarded the P.W.S. Memorial Prize for the best essay in the field of Industrial Organization by a scholar under the age of thirty.
- "Valuing Market Benefits and Costs in Related Output and Input Markets," American Economic Review, (September 1979).
- "Contracts, Price Rigidity and Market Equilibrium," Journal of Political Economy, (October 1979).
- "Why New Firms Locate Where They Do: An Econometric Model," in Studies in Regional Economics, edited by W. Wheaton, (Urban Institute, 1980).
- "Benefits and Costs of Airline Mergers: A Case Study," (with W. Landes and R. Posner) Bell Journal of Economics, (Spring 1980). (Reprinted in "Air Transport" in Classics In Transport Analysis series, edited by Kenneth Button and Peter Nijkamp, 2001.)
- "The Limitations of Pigouvian Taxes as a Long Run Remedy for Externalities," (with G. Loury) Quarterly Journal of Economics, (November 1980).
- "The Law and Economics of Rights in Valuable Information: A Comment," Journal of Legal Studies, (December 1980).
- "Price Discrimination: Vertical Integration and Divestiture in Natural Resources Markets," (with J. Perloff) Resources and Energy, (March 1981).
- "The Spatial Effects of a Tax on Housing and Land," Regional Science and Urban Economics, (November 1981).
- "Comments on Weicher," Journal of Law and Economics, (December 1981).
- Comment, in Sherwin Rosen ed. Studies in Labor Markets, University of Chicago Press, (1981).
- "Planning and Market Structure," in The Economics of Information and Uncertainty, edited by J.J. McCall, University of Chicago Press, (1982).
- "The Disruptive Effect of Inflation on the Organization of Markets," in Robert Hall, ed. The Economics of Inflation, University of Chicago Press, (1982).
- "The Need for Coordination Among Firms With Special Reference to Network Industries," (with J. M. Klammer) University of Chicago Law Review, (Spring 1983).
- "A Reexamination of Delivered Pricing," Journal of Law and Economics, (April 1983).
- "Futures Trading, Market Interrelationships, and Industry Structure," American Journal of Agricultural Economics, (May 1983).
- "The Regulation of Insider Trading," (with D. Fischel), Stanford Law Review, (May 1983), reprinted in J. Macey ed., Classics in Corporate Law and Economics, Edward Elgar Publishing (2008),

reprinted in part in Roberto Romano, Foundations of Corporate Law, Oxford University Press (1993) and Foundation Press (2010 forthcoming).

"The Location and Employment Choices of New Firms: An Econometric Model with Discrete and Continuous Endogenous Variables," The Review of Economics and Statistics, (August 1983).

"Economic Goals and Remedies of the AT&T Modified Final Judgment," (with W. Lavey), Georgetown Law Review, (August 1983).

"Equilibrium Fluctuations When Price and Delivery Lags Clear the Market," Bell Journal of Economics, (Autumn 1983).

"Energy and Location," Energy Costs, Urban Development, and Housing, Brookings Institution, (1984).

"Futures Markets: Their Purpose, Their History, Their Growth, Their Successes and Failures," Journal of Futures Markets, (September 1984). (Reprinted in Futures Markets edited by A.G. Malliaris and W.F. Mullady, Edward Elgar Publishing Limited, 1995; and in Classic Futures: Lessons from the Past for the Electronics Age, edited by Lester Telser, Risk Books, 2000.)

"The Economics of Gray-Market Imports," (with C. DeMuth), written for the Coalition to Preserve the Integrity of American Trademarks (COPIAT), (May 1985).

"The Limitation of Pigouvian Taxes As A Long Run Remedy for Externalities: Extension of Results," (with G. Loury) Quarterly Journal of Economics, (August 1986).

"The Rigidity of Prices," American Economic Review, (September 1986).

"The Theory and The Facts of How Markets Clear: Is Industrial Organization Valuable for Understanding Macroeconomics?" in Handbook of Industrial Organization, eds. Schmalensee and Willig, (1989).

"Market Power and Mergers in Durable Good Industries," (with R. Gertner), Journal of Law and Economics, (October 1989).

"Comments on Vertical Integration and Market Foreclosure," Brookings Papers on Economic Activity: Microeconomics, (1990).

Book Review of Tirole's "The Theory of Industrial Organization", Journal of Political Economy, (June 1990).

"The Genesis of Inflation and the Costs of Disinflation: Comment," Journal of Money, Credit & Banking, (August 1991, Part 2).

"The Theory of Allocation and its Implications for Marketing and Industrial Structure: Why Rationing is Efficient," Journal of Law and Economics, (October 1991).

"The Economics of Cooperation and Competition in Electronic Services Network Industries," in Economics of Electronic Service Networks, Wildman Steven ed., Praeger Press, (1992).

"Merger Policy and Market Definition Under the EC Merger Regulation," (with W. D. Bishop). Conference on Antitrust in a Global Economy, Fordham Corporate Law Institute, (1994).

- "The Antitrust Economics of Credit Card Networks," (with A. Frankel) Antitrust Law Journal, (Winter 1995).
- "Economic Organization and Conflict," Journal of Institutional and Theoretical Economics, (March 1995).
- "Antitrust and Higher Education: Was There a Conspiracy to Restrict Financial Aid?" (with G. Bamberger and R. Epstein) The Rand Journal of Economics, (Vol. 26, No. 1, Spring 1995, pp. 131-147).
- "The Competitive Effects of Line-of-business Restrictions in Telecommunications," (with K. Arrow and H. Sider), Managerial and Decision Economics, (Vol. 16, pp. 301-321, 1995). (Reprinted in Deregulating Telecommunications - The Baby Bells Case for Competition, edited by Richard S. Higgins and Paul H. Rubin, John Wiley & Sons Ltd., 1995.)
- "The Antitrust Economics of Credit Card Networks: Reply to Evans and Schmalensee," (with A. Frankel), Antitrust Law Journal, (Spring 1995).
- "Antitrust and Payment Technologies," (with A. Frankel), Review, Federal Reserve Bank of St. Louis (November/December 1995).
- "Antitrust Policy Toward Mergers When Firms Innovate: Should Antitrust Recognize the Doctrine of Innovation Markets?" Testimony before the Federal Trade Commission Hearings on Global and Innovation-based Competition (October, 1995).
- "You Keep on Knocking But You Can't Come In: Evaluating Restrictions on Access to Input Joint Ventures," (with S. Salop), Harvard Journal of Law & Technology, (Volume 9, Summer, 1996). (Reprinted in e-Commerce Antitrust & Trade Practices, Practicing Law Institute, 2001.)
- "Comments on Causes and Consequences of Airline Fare Wars," Brookings Papers on Economic Activity: Microeconomics, (1996).
- "A Critical Assessment of the Role of Imperfect Competition in Macroeconomics," in Market Behavior and Macro Economic Modeling, Brakman, Van Ees, & Kuipers (eds.), MacMillan Press (1997).
- "Price Rigidity," Business Cycles and Depressions, David Glasner ed., Garland Publishing, Inc., (1997).
- "Communication Among Competitors: Game Theory and Antitrust," (with R. Gertner and A. Rosenfield), George Mason Law Review, (1997). (Reprinted in e-Commerce Antitrust & Trade Practices, Practicing Law Institute, 2001.)
- "Comments on Born and Viscusi," Brookings Papers on Economic Activity: Microeconomics, (1998).
- "Antitrust and Higher Education: MIT Financial Aid (1993)," (with G. Bamberger), The Antitrust Revolution, in eds. J. Kwoka and L. White, (Oxford University Press, 3rd edition 1999).
- "Market Power and Vertical Restraints in Retailing: An Analysis of FTC v. Toys 'R' Us," (with H. Sider), The Role of the Academic Economist in Litigation Support, edited by Daniel Slottje, North Holland, (1999).
- "The Economics of Religion, Jewish Survival and Jewish Attitudes Toward Competition on Torah Education," (with A. Weiss), Journal of Legal Studies, (2001). (Reprinted in Essential Readings



on Jewish Identities, Lifestyles and Beliefs, edited by Stanford M. Lyman, Gordian Knot Books, 2003).

"A General Analysis of Exclusionary Conduct and Refusal to Deal -- Why Aspen and Kodak are Misguided," Antitrust Law Journal, (2001). (Reprinted in e-Commerce Antitrust & Trade Practices, Practising Law Institute, 2001.)

"The Lessons from Microsoft," Business Economics, (January 2001).

"Lessons from Halacha About Competition and Teaching," (with A. Weiss), Center for Business Ethics Social Responsibility, <http://besr.org/library/competition.html>, (March 2001).

"The Choice of Organizational Form in Gasoline Retailing and The Costs of Laws Limiting that Choice," (with A. Blass), Journal of Law and Economics, (October 2001). Reprinted in Franchise Contracting and Organization, edited by Francine Lafontaine, Elgar Publishing, (2005).

"Should The Merger Guidelines Be Scrapped? Introduction to a Debate," in Symposium On The Antitrust Analysis Of Mergers: Merger Guidelines vs. Five Forces, 33 U. WEST L.A. L. REV. (2001).

"Free Riding and Sales Strategies for the Internet," (with J. Chevalier), The Journal of Industrial Economics, (December 2001).

"The Strategic Use of Tying to Preserve and Create Market Power in Evolving Industries," (with M. Waldman), The Rand Journal (Vol. 33, No. 2, Summer 2002). (Reprinted in B. Klein and A. Lerner eds. Economics of Antitrust Law, Edward Elgar Publishing Ltd, 2008, and Recent Developments in Monopoly and Competition Policy, The International Library of Critical Writings in Economics, edited by George Norman, Edward Elgar Publishing Ltd, 2008.)

"The Competitive Effects of Fannie Mae," (with D. Gross and R. Stillman) in Housing Matters: Issues in American Housing Policy, Fannie Mae (January 2002, reprinted 2004).

"Intellectual Property, Antitrust and Strategic Behavior," (with R. Gertner), in eds. Adam Jaffee and Joshua Lerner, Innovation Policy and the Economy, Volume 3, MIT Press (2003).

"Airline Networks and Fares," (with G. Bamberger), Handbook of Airline Economics, 2nd ed., Darryl Jenkins, ed., McGraw Hill (2003).

"Contracts that Lessen Competition -- What is Section 27 for, and How Has it Been Used?" (with David Goddard), in Mark N. Berry and Lewis T. Evans eds., Competition Law at the Turn of the Century: A New Zealand Perspective, Victoria University Press (2003).

Interview, Economists' Roundtable, Antitrust Magazine, (Spring 2003).

"The Relevance for Antitrust Policy of Theoretical and Empirical Advances in Industrial Organization," (Fall 2003), George Mason Law Review.

"The Control of Externalities in Sports Leagues: An Analysis of Restrictions in the National Hockey League," (with A. Frankel and E. Landes), Journal of Political Economy, (February 2004), reprinted in Recent Developments in the Economics of Sport, edited by W. Andreff (forthcoming).

"An Empirical Investigation of the Competitive Effects of Domestic Airline Alliances," (with G. Bamberger and L. Neumann), Journal of Law and Economics, Vol. 47, No. 1, (April 2004, pp. 195-222).

"Why Barriers to Entry are Barriers to Understanding," American Economic Review, (May 2004).

"Using Economics to Improve Antitrust Policy," Milton Handler Lecture, Columbia Business Law Review, (June 2004).

"The Proper Role for Antitrust in an International Setting," (Keynote address: Second Annual Conference of the International Competition Network (ICN), Merida City, Mexico (June 25, 2003), appears as Appendix to "Using Economics to Improve Antitrust Policy", Columbia Business Law Review (June 2004).

"Econometric Analysis of Telephone Mergers," (with H. Sider) pp. 373-395 in American Bar Association, Econometrics: Legal, Practical, and Technical Issues, (2005).

"How Economics Can Improve Antitrust Doctrine Towards Tie-in Sales," (with M. Waldman), Competition Policy International, (Spring 2005).

Preface to: "Law and Economics of the Mexican Competition Laws," by Francisco Gonzalez de Cossio (2005).

"Transaction Costs, Externalities and "Two-Sided" Payment Markets," (with A. Frankel), Columbia Business Law Review, No. 3, Vol. (2005).

"Predation and the Entry and Exit of Low-Fare Carriers," (with G. Bamberger), in Advances in Airline Economics: Competition Policy and Antitrust, Darin Lee, ed., (2006).

"Why Tie An Essential Good," (with Michael Waldman), in Hahn R. ed., Antitrust Policy and Vertical Restraints, AEI-Brookings, (July 2006).

"Market Definition: Use and Abuse," Competition Policy International (Spring 2007)

Interview with Deputy Assistant Attorney General, The Antitrust Source (February 2007)

Separate Statement of Dennis W. Carlton, in The Report of the Antitrust Modernization Commission, (April 2007)

"Does Antitrust Need to be Modernized?," Journal of Economic Perspectives (Summer 2007)

"The Year in Review: Economics at the Antitrust Division 2006-2007" (with K. Heyer), Review of Industrial Organization, (2007).

"Economic Analysis of Competition Practices in the EU and the U.S.: A View from Chief Economists," (with M. Salinger), Competition Policy International (Autumn 2007).

"Merger Analysis," Palgrave Dictionary, (with J. M. Perloff), (2008).

"Tying," (with M. Waldman), in W. Collins ed. Issues in Competition Law and Policy, American Bar Association, (2008).

"Barriers to Entry," in W. Collins ed. Issues in Competition Law and Policy, American Bar Association,

(2008).

"Product Variety and Demand Uncertainty: Why Mark-ups Vary with Quality," (with James D. Dana Jr.), Journal of Industrial Economics (2008)

"Regulation, Antitrust, and Trinko," (With H. Sider), in eds. J. Kwoka and L. White, The Antitrust Revolution, (2008).

"A Solution to Airport Delays," (with W. Whalen, K. Heyer and O. Richard), Regulation (2008).

"Should 'Price Squeeze' Be A Recognized Form of Anticompetitive Conduct?," Journal of Competition Law & Economics (2008).

"Safe Harbors for Quantity Discounts and Bundling," (with M. Waldman), George Mason Law Review (2008).

"Appropriate Antitrust Policy Towards Single-Firm Conduct: Extraction vs. Extension" (with K. Heyer)," Antitrust, (condensed version of subsequent paper), (Summer 2008).

"Extraction vs. Extension: the Basis for Formulating Antitrust Policy Towards Single-Firm Conduct" (with K. Heyer), Competition Policy International, (Autumn, 2008).

"Assessing the Anticompetitive Effects of Multiproduct Pricing," (with P. Greenlee and M. Waldman), Antitrust Bulletin, (Fall, 2008).

"The Need to Measure the Effect of Merger Policy and How to Do It," Antitrust, (condensed version of subsequent paper), (Summer 2008).

"How to Measure The Effectiveness of US Merger Policy," <http://voxeu.org/index.php?q=node/3344>, (2009), and a slightly revised version appears as "Measuring the Effectiveness of US Merger Policy" in The Economists' Voice: Vol. 6: Iss. 7, Article 2, (2009). These are condensed versions of the subsequent paper.

"Why We Need to Measure the Effect of Merger Policy and How to Do It," Competition Policy International (Spring 2009).

"Competition, Monopoly, and Aftermarkets," (with M. Waldman), Journal of Law, Economics and Organization, (April 2009).

"Competition Policy: Beware of Using It to Harm Competition," Fair Trade, Japan, (Spring, 2009).

"Should Competition Policy Prohibit Price Discrimination?" (with M. Israel), Global Competition Review, (2009).

"Merger Guidelines Revisited?" an interview, Antitrust, American Bar Association, (Fall 2009).

"How Should Economic Evidence be Presented and Evaluated," proceedings of the EU Competition Workshop, Florence, Italy, (June 2009).

"Externalities in Payment Card Networks: Theory and Evidence: A Commentary," The Changing Retail Payments Landscape: What Role for Central Banks?, Federal Reserve Bank of Kansas City (2010).

"Why Tie a Product Consumers Do Not Use?," (with J. Gans and M. Waldman), Recipient of Inaugural

Robert F. Lanzilotti Prize, awarded by the International Industrial Organization Society for Best Paper in Antitrust Economics, (2008), American Economic Journal: Microeconomics (2010).

"Mergers in Regulated Industries: Electricity," in Competition Law and Economics: Advances in Competition Policy Enforcement in the EU and North America, A. Mateus and T. Moreira editors, (2010).

"Financial Issues (Comments on Bankruptcy and Clearing Houses)," Chapter X in Competition as Public Policy, American Bar Association, (2010).

"Revising the Horizontal Merger Guidelines," Journal of Competition Law & Economics (2010), appears also in CADE Journal and Law Quarterly in Brazil (forthcoming).

"Net Neutrality and Consumer Welfare," (with G. Becker and H. Sider), Journal of Competition Law & Economics, (2010).

"Will The New Guidelines Clarify or Obscure Antitrust Policy?," (with M. Israel), The Antitrust Source, (2010).

"Introduction to Stigler's Theory of Oligopoly," (with S. Peltzman), Competition Policy International, (2010).

"Response to Gopal Das Varma's Market Definition, Upward Pricing Pressure, and the Role of Courts: A Response to Carlton and Israel" (with M. Israel), The Antitrust Source, (2010).

"Use and Misuse of Empirical Methods in the Economics of Antitrust," 3(1) Competition Policy International Antitrust Chronicle, (2011).

"Antitrust and Regulation," (with R. Picker) in N. Rose ed., Economics of Deregulation, NBER, (forthcoming).

"Proper Treatment of Buyer Power in Merger Review," (with M. Israel), Review of Industrial Organization, (forthcoming).

"The Economics of Patent Ambush," Revue de la concurrence et de la consommation, (forthcoming).

#### UNPUBLISHED PAPERS

"Modeling the Housing Allowance Program," M.A. Thesis, Massachusetts Institute of Technology (September 1974).

"The Cost of Eliminating a Futures Market and The Effect of Inflation on Market Interrelationships," (1984).

"The Empirical Importance of Delivery Lags as an Explanation of Demand," (1984).

"Statistical Supplement to The Antitrust Economics of Credit Card Networks: Reply to Evans and Schmalensee Comment, 63 Antitrust Law Journal 903 (1995)," (with Alan Frankel), (May 1997).

"Tying, Upgrades, and Switching Costs In Durable-Goods Markets," (with Michael Waldman), NBER Working Paper 11407, (2005).

"Antitrust and Not for Profits; The Case of Hospitals," (with C. Capps, and G. David), mimeo (2010).

### EXPERT TESTIMONIAL EXPERIENCE

Testimony of Dennis W. Carlton in Re: "Vertical Integration--An Overview, "Congressional Record Hearings on the Communications Act of 1978: Proceedings before the House on Bill H.R. 13105, August 3, 1978.

Testimony of Dennis W. Carlton in Re: Competitive Effects of the Proposed North Central-Southern Airline Merger: Proceedings before the Civil Aeronautics Board, Docket No. 33136, Exhibit NC/SO-T-7, October 13, 1978 and October 9, 1979 (with William M. Landes and Richard A. Posner).

Testimony of Dennis W. Carlton in Re: McNeilab, Inc.: Proceedings before the United States Department of Justice, Drug Enforcement Administration, Docket No. 78-13, March 13, 1980 and May 1980 (Oral).

Testimony of Dennis W. Carlton in Re: Acco Industries, Inc. v. Kresl Power Equipment, Inc.: In the U.S. Court of Appeals For the Seventh Circuit, Docket No. 80-2024, March 29, 1980.

Deposition, Testimony, and Rebuttal Testimony of Dennis W. Carlton in Re: Ethyl Corporation: Proceedings before the Federal Trade Commission, Docket No. 9128, November 10 & 11, 1980 (Deposition), November 13 & 14, 1980 (Testimony), February 20, 1981 (Rebuttal).

Deposition of Dennis W. Carlton in Re: Independence Tube Corporation v. Copperweld Corporation, Regal Tube Company, The Yoder Company v. David F. Grohne (counter-defendant): In the U.S. District Court for the Northern District of Illinois, Eastern Division, No. 76 C 4201, January 24, 1981.

Affidavit of Dennis W. Carlton in Re: Ellis Banking Corporation, Ellis First National Bank of Bradenton, and Ellis First Security Bank v. Barnett Banks of Florida, Inc., Barnett Bank of Manatee County, and Westside National Bank of Manatee County: In the U.S. District Court for the Middle District of Florida, Tampa Division, No. 81-693-Civ-T-H, July 28, 1981.

Deposition and Economic Report of Dennis W. Carlton in Re: Schneider Industrial Sales and Service Company, William Schneider and Mary Emily Schneider v. Acco Industries, Inc.: In the U.S. District Court for the District of New Jersey, April 19, 1982.

Deposition and Testimony of Dennis W. Carlton in Re: City of Batavia, et al. v. Commonwealth Edison Company: Proceedings before the U.S. District Court, Northern District of Illinois, Eastern Division, No. 76 C 4388, May 17, 18 & 25, 1982 (Deposition), July 22, 1982 (Testimony).

Deposition of Dennis W. Carlton in Re: M. K. Metals Inc., et al. v. National Steel Corporation: In the U.S. District Court for the Northern District of Illinois, Eastern Division, No. 79 C 1661, September 15, 1983.

Declaration and Deposition of Dennis W. Carlton in Re: Carter Hawley Hale Stores, Inc. v. The Limited, Inc., et al.: In the U.S. District Court, Central District California, No. CV 84 22000 AWT (JRX), April 21, 1984 (Declaration), April 23, 1984 (Deposition).

- Verified Statements and Testimony of Dennis W. Carlton in Re: Denver & Rio Grande Western Railroad v. Santa Fe Southern Pacific Corporation et al: Proceedings before the Interstate Commerce Commission, Docket No. 30400, August 28, 1984, November 14, 1984, and May 22, 1985, (Statements), and January 30, 1985 and June 19, 1985, (Testimony).
- Affidavit of Dennis W. Carlton in Re: United States of America v. Western Electric Company, Inc. and American Telephone and Telegraph Company: In the United States District Court for the District of Columbia, December 19, 1984 (with William M. Landes).
- Statement of Carlton in Re: To the National Telecommunications Information Administration (NTIA) Request for Comments in Connection with the Comprehensive Study of the Structure and Regulation of the U.S. Telecommunications Industry, March 29, 1985 (with DeMuth, Landes, and Rosenfield).
- Deposition and Affidavit of Dennis W. Carlton in Re: L&W Industries, Inc. v. American Standard, Inc.: In the U.S. District Court, Eastern District of Wisconsin, Civil Action No. 81-C-1409, May 14, 1985 (Deposition), August 30, 1985 (Affidavit).
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Report and Deposition of Dennis W. Carlton In Re: Francis Ferko and Russell Vaughn as Shareholders of Speedway Motorsports, Inc. v. (NASCAR) National Association for Stock Car Auto Racing, Inc., International Speedway Corporation, and Speedway Motorsports, Inc.,: In the United States District Court Eastern District of Texas Sherman Division, Case No. 4:02cv50, Honorable Richard A. Schell, December 15, 2003 (Report), January 21-22, 2004 (Deposition).

Declaration, Deposition, and Rebuttal Declaration of Dennis W. Carlton In Re: CSC Holdings, Inc. v. Yankees Entertainment and Sports Network, LLC., before the American Arbitration Association, Arbitration Proceeding, Case No 13 181 02839 03, January 23, 2004 (Declaration), February 5, 2004 (Deposition), February 24, 2004 (Rebuttal Declaration).

Expert Report, Deposition, Expert Report, Deposition and Testimony of Dennis W. Carlton In Re: Jamsports and Entertainment, LLC v. Paradama Productions, Inc., d/b/a AMA Pro Racing, Clear Channel Communications, Inc., SFX Entertainment, Inc., d/b/a Clear Channel Entertainment SFX Motor Sports, Inc., d/b/a Clear Channel Entertainment-Motor Sports, In the United States District Court for the Northern District of Illinois Eastern Division, Case No. 02 C 2298, March 8, 2004 (Expert Report), April 19 and 20, 2004 (Deposition), September 28, 2004 (Expert Report), October 4, 2004 (Deposition), March 11, 14, 2005 (Trial Testimony).

Affidavit in Reply, Second Affidavit, and Testimony of Dennis W. Carlton In Re: The Matter of an Appeal from Determinations of the Commerce Commission Between Air New Zealand Limited Between Qantas Airways Limited and The Commerce Commission, In the High Court of New Zealand Auckland Registry Commercial List Under The Commerce Act 1986, CIV 2003 404 6590, June 7, 2004 (Affidavit), July 6, 2004 (Second Affidavit), July 13-16, 2004 (Testimony).

Expert Report and Deposition of Dennis W. Carlton in Re: J.B.D.L. Corp. d/b/a Beckett Apothecary, et al., v. Wyeth-Ayerst Laboratories, Inc., et al., Civil Action No. C-1-01-704. CVS Meridian, Inc.,

and Rite Aid Corp., v. Wyeth, Civil Action No. C-1-03-781, in the United States District Court for the Southern District of Ohio Western Division, July 7, 2004 (Expert Report), September 3, 2004 (Deposition).

Declaration of Dennis W. Carlton on behalf of Bellsouth Telecommunications, Inc., in the matter of AT&T Corp., v. Bellsouth Telecommunications, Inc., before the Federal Communications Commission, Washington, DC 20554, July 20, 2004 (with H. Sider).

Expert Report, Sur-Reply Expert Report, Deposition, Affidavit and Supplemental Report of Dennis W. Carlton in Re: Flat Glass Antitrust Litigation: In the United States District Court for the Western District of Pennsylvania, Master Docket MISC No. 97-550, relates to Jeld-Wen, Inc. Docket No. 2-99-875, July 6, 2004 (Expert Report), September 9, 2004 (Sur-Reply Expert Report), November 1-2, 2004 (Deposition), July 20, 2005 (Affidavit), August 16, 2005 (Supplemental Report).

Expert Report, Declaration and Deposition of Dennis W. Carlton (T-Mobile, Sprint PCS, AT&T Wireless, Cingular, Verizon Wireless Reports) in Re: Wireless Telephone Services Antitrust Litigation: In the United States District Court Southern District of New York, 02 Civ. 2637, December 20, 2004 (Expert Report), February 9, 2005 (Deposition).

Declaration, Testimony, Reply Declaration/Rebuttal, Joint Applicants' Statement, Ex Parte, Rebuttal Testimony and Rejoinder Testimony of Dennis W. Carlton in Re: In the Matter of the Proposed Merger of AT&T Corp.,(AT&T) and SBC Communications Inc. (SBC), Before the FCC, February 21, 2005 (Declaration with H. Sider); Before the New Jersey Public Utility Commission, May 4, 2005 (Testimony with H. Sider); Before the FCC, May 9, 2005 (Reply Declaration/Rebuttal with H. Sider); Before the Pennsylvania Utility Commission, May 12, 2005 (Joint Applicants' Statement with H. Sider); Before the FCC, June 28, 2005 (Ex Parte with H. Sider); Before the Pennsylvania Public Utility Commission, July 15, 2005 (Rebuttal Testimony with H. Sider); Before the Pennsylvania Public Utility Commission, August 5, 2005 (Rejoinder Testimony with H. Sider).

Expert Report of Dennis W. Carlton in Re: In the matter of Echostar Satellite, L.L.C., v. Fox Television Holdings, Inc., Fox/UTV Holdings, Inc., News Corporation: Before the American Arbitration Association, Case No. 71 472 E 00690 04, March 2, 2005 (with G. Bamberger).

Declaration, Reply Declaration, Proprietary Report and Redacted Reports of Dennis W. Carlton in Re: In the matter of Verizon Communications Inc., and MCI, Inc., Applications for Approval of Transfer of Control, Before the FCC (Federal Communications Commission), Washington, DC 20554, WC Docket No. 05-75, March 10, 2005 (Declaration with G. Bamberger and A. Shampine), May 24, 2005 (Reply Declaration with A. Shampine), August 5, 2005 (Proprietary and Redacted Report with G. Bamberger and A. Shampine), September 9, 2005 (Redacted Report with G. Bamberger and A. Shampine).

Expert Report, Deposition, Affidavit, Supplemental Report and Testimony of Dennis W. Carlton in Re: Celanese Ltd., et al. v. JO Tankers AS, et al, April 8, 2005 (Expert Report); and May 6, 2005 (Deposition); June 10, 2005 (Affidavit); October 10, 2005 (Supplemental Report), November 9-10, 2005 (Testimony).

Affidavit of Dennis W. Carlton in Re: In the matter of Beatrice C. Romero vs. Philip Morris Price Fixing Allegations: In the United States First District Court State of New Mexico County of Rio Arriba, April 15, 2005.



Deposition, Expert Reports, Written Direct Examination, Deposition and Trial Testimony of Dennis W. Carlton in Re: United States of America v. Philip Morris USA Inc. (f/k/a Philip Morris Incorporated), et al., In the United States Court for the District of Columbia, Civil Action No. 99-CV- 2496 (GK), September 10, 2002 (Deposition); April 29, 2005 (Expert Report); May 3, 2005 (Written District Examination); May 10, 2002 (Expert Report); May 23, 2005 (Written Direct Examination); May 23, 2005 (Deposition), June 2, 2005 (Trial Testimony).

Deposition and Expert Submission of Dennis W. Carlton in Re: 2003 NPM Adjustment Proceeding pursuant to Master Settlement Agreement, November 22, 2005 (Deposition), October 10, 2005 (Expert Submission), January 30, 2006 (Expert Final Submission).

Declaration of Dennis W. Carlton in Re: Covad Communications, et.al. v. Bell Atlantic, et. al., Civil Action No.:1:99-CV-01046, June 10, 2005 (Declaration).

Joint Report by Dennis W. Carlton and Alan S. Frankel In the Matter of the Decision of the Office of Fair Trading dated 6 September 2005 No. CA 98/05/05 of 6 September 2005 in Case CP/0090/00/S, Competition Appeal Tribunal (U.K.), February 27, 2006 (Report).

Expert Report and Deposition of Dennis W. Carlton in Re: Fresh Del Monte Pineapples Antitrust Litigation In the United States District Court for the Southern District of New York, Civil Action No. 03-CV-10230 (RMB), February 3, 2006 (Expert Report); February 22, 2006 (Deposition).

Expert Report of Dennis W. Carlton in Re: Marjorie Ferrell, et al., v. Wyeth-Ayerst Laboratories, Inc., et al. In the United States District Court for the Southern District of Ohio, Civil Action No. C-1-01-447, May 3, 2006 (Expert Report).

Declaration of Dennis W. Carlton (with Hal Sider) in Re: AT&T Corporation and BellSouth Corporation., Application for Approval of Transfer of Control, in the Federal Communications Commission, WC Docket 06-74, March 29, 2006 (Declaration), June 19, 2006 (Reply Declaration), August 21, 2006 (Declaration).

Declaration of Dennis W. Carlton in Re: Wireless Telephone Services Antitrust Litigation, Michael Freeland, et al., on behalf of himself and others, v. AT&T Corporation, et al. In the United States District Court, Southern District of New York, Master File 02 Civ. 2637 (DLC) and Separate File 04 Civ. 8653 (DLC), May 5, 2006 (Declaration).

Declaration, Deposition, Direct Testimony and Rebuttal Testimony of Dennis W. Carlton in Re: Certain Baseband Processor Chips and Chipsets, Transmitter and Receiver (Radio) Chips, Power Control Chips, and Products Containing Same, Including Cellular Telephone Handsets, In the United States International Trade Commission, May 19, 2006 (Declaration), June 1, 2006 (Deposition), June 5, 2006 (Direct Testimony), June 7, 2006 (Rebuttal Testimony) July 10, 2006 (Live Testimony).

Expert Report, Supplemental Expert Report, Second Supplemental Expert Report, Reply Expert Report, Deposition, Statement, and Testimony of Dennis W. Carlton in Re: Verizon Services Corp., Verizon Communications Inc., MCI Communications Corp., and Verizon Business Global LLC vs. Cox Fibernet Virginia, Inc., Cox Virginia Telecom, Inc., Cox Communications Hampton Roads, LLC, CoxCom, Inc., and Cox Communications, Inc., in the US District Court for the Eastern District of Virginia, Case No. 1:08-cv-157 CMH-TRJ, May 30, 2008 (Expert Report), June 13, 2008 (Supp. Expert Report), July 2, 2008 (Second Supp. Expert Report), July 14, 2008 (Expert Report in Reply to Expert Report of Michael C. Keeley), July 29, 2008 (Deposition), September 17, 2008 (Statement), September 18, 22, and 29, 2008 (Testimony).

- Declaration, and Reply Declaration of Dennis W. Carlton (with A. Shampine and H. Sider) in Re: Verizon Wireless and ALLTELL Holdings LLC, in the Federal Communications Commission, WT Docket 08-95, June 13, 2008 (Declaration), August 19, 2008 (Reply Declaration).
- Initial Submission and Final Submission of Dennis W. Carlton in Re: 2006 NPM Adjustment Proceeding pursuant to Master Settlement Agreement, October 6, 2008 (Initial Submission Expert Report), January 16, 2009 (Final Submission Expert Report).
- Expert Report of Dennis W. Carlton in Re: Rosemary D'Augusta et. al. v Northwest Airlines Corp and Delta Air Lines, Inc., in the US District Court for the Northern District of California, Civil Action No. :3:08-CV-3007 VRW, October 17, 2008 (Expert Report)
- Declaration of Dennis W. Carlton in Re: Vibo Corp Inc. v Jack Conway in the US District Court Western District of Kentucky, Case No. 03:08-CV-571-JBC, December 1, 2008 (Declaration).
- Expert Report, and Supplemental Expert Report of Dennis W. Carlton and Mark Israel in Re: Toys "R" Us-Delaware, Inc., and Geoffrey, Inc. v Chase Bank USA, N.A., for the American Arbitration Association New York, New York, No. 13-148-02432-08, February 27, 2009 (Expert Report), March 23, 2009 (Supplemental Expert Report).
- Preliminary Report and Preliminary Analysis of Dennis W. Carlton in Re: Internet Corporation of Assigned Names and Numbers (ICANN) for the introduction of new top level domains (TLDs), March 2009 (Preliminary Report), March 2009 (Preliminary Analysis).
- Brief of Evidence, and Rebuttal Brief of Evidence of Dennis Carlton and Gustavo Bamberger in Re: New Zealand Commerce Commission, and DSE (NZ) Limited (and others) v Cards NZ Limited and others, in the High Court of New Zealand, Auckland Registry, CIV 2006-485-2693, May 4, 2009 (Brief of Evidence), September 7, 2009 (Rebuttal Brief of Evidence).
- Expert Report, and Deposition of Dennis W. Carlton in Re: BoDeans Cone Company, et. al. v. Norse Dairy Systems; Interbake Foods, LLC, in the US District Court for the Northern District of Iowa Western Division, No. 5:09-CV-4014, July 31, 2009 (Expert Report), August 27, 2009 (Deposition).
- Declaration, Deposition, and Affidavit of Dennis W. Carlton in Re: Chicago Board Options Exchange, Incorporated, Dow Jones & Company, Inc., and the McGraw- Hill Companies, Inc., v. International Securities Exchange, LLC and the Options Clearing Corporation in the Circuit Court of Cook County, Illinois County Department, Chancery Division, No. 06 CH 24798, October 30, 2009 (Declaration), January 29, 2010 (Deposition), March 26, 2010 (Affidavit).
- Responses of Dennis Carlton in Re: Verizon Horizontal Merger Guidelines Review Project to the U.S. Department of Justice and Federal Trade Commission, November 9, 2009 (Responses).
- Declaration and Reply Declaration of Dennis W. Carlton and Gary S. Becker in the matter of Preserving the Open Internet Broadband Industry Practices, before the Federal Communications Commission in Washington D.C., GN Docket No. 09-191, January 14, 2010 (Declaration), April 7, 2010 (Reply Declaration).
- Declaration and Reply Declaration of Dennis W. Carlton and Hal Sider in Re: Special Access Rates for Price Cap Local Exchange Carriers, AT&T Corp. Petition for Rulemaking to Reform Regulation of Incumbent Local Exchange Carrier Rates for Interstate Special Access Services, before the Federal Communications Commission in Washington D.C., WC Docket No. 05-25, January 19, 2010 (Declaration), February 24, 2010 (Reply Declaration).

Report and Reply Report of Dennis W. Carlton and Gustavo E. Bamberger in Re: Air Canada. Toronto, Canada. February 5, 2010 (Report), May 18, 2010 (Reply Report).

Comments of Dennis W. Carlton on Department of Justice and Federal Trade Commission's Proposed Horizontal Merger Guidelines. June 4, 2010 (Comments).

Declaration and Expert Disclosure Statement of Dennis W. Carlton in Re: Light Cigarettes Marketing and Sales Practices Litigation, in the United States District Court, District of Maine, MDL Docket No. 1-09-MD-2068, January 28, 2010 (Declaration).

Declaration and Expert Disclosure Statement of Dennis W. Carlton in Re: Karen L. Lawrence, et. al., v. Philip Morris, Inc., before the Superior Court of the State of New Hampshire, No. 09-C-518, June 28, 2010 (Declaration).

Report of Dennis W. Carlton and Gustavo E. Bamberger in Re: Vector Limited, New Zealand. August 20, 2010 (Report).

Economic Analysis of Dennis W. Carlton and Gustavo E. Bamberger in Re: LAN/TAM Merger South America. April 12, 2011 (Economic Analysis).

**ALLAN SHAMPINE**

**March 2011**

Compass Lexecon  
332 South Michigan Avenue  
Suite 1300  
Chicago, Illinois 60604-4306

(312) 322-0294  
ashampine@compasslexecon.com

### **EDUCATION**

- Ph.D. UNIVERSITY OF CHICAGO: Economics, 1996  
(Full scholarship from the University)  
(Thesis: *An Evaluation of Technology Diffusion Models and Their Implications*)  
(Field specializations: urban economics, agricultural economics)
- M.A. UNIVERSITY OF CHICAGO: Economics, 1993  
(Full scholarship from the University)
- B.S. SOUTHERN METHODIST UNIVERSITY: Economics and Systems Analysis,  
Mathematics Minor, 1991  
(Summa Cum Laude, Honors, Departmental Distinction)

### **PROFESSIONAL EXPERIENCE**

COMPASS LEXECON (formerly Lexecon), Chicago, Illinois: Vice President (2003-Present)

COMPASS LEXECON (formerly Lexecon), Chicago, Illinois: Economist (1996 - 2003)

UNIVERSITY OF CHICAGO: Teaching Assistant (1994 – 1996)

DEGOLYER SPECIAL COLLECTIONS LIBRARY (May - July 1991)

BARNES & NOBLE (May - July 1989)

UNIVERSITY OF TEXAS, Research Assistant to Dr. Brian Berry (May - July 1987)

## **PUBLICATIONS**

### **BOOKS**

Down to the Wire: Studies in the Diffusion and Regulation of Telecommunications Technologies, (Editor) Nova Science Press (2003).

(Contributors include Debra Aron, Johannes Bauer, Peter Bernstein, David Burnstein, Robert Crandall, Nicholas Economides, Wayne Fu, Shane Greenstein, Charles Jackson, Junghyun Kim, Donald Kridel, Mercedes Lizardo, Paul Rappoport, Pablo Spiller, Lester Taylor and Steven Wildman)

### **ARTICLES**

“Price Indexes, Hedonic Analysis and Patent Damages,” 5 *Journal of Intellectual Property Law & Practice* 2 (2010).

“Credit Cards in Context: Framing the Discussion” and “Assessing the Social Effects of the Use of Credit Cards” in The Law and Economics of Interchange Fees and Credit Card Markets, International Center for Law & Economics, December 8-9, 2009.

“Reasonable royalties and the sale of patent rights,” 4 *Journal of Intellectual Property Law & Practice* 8 (2009).

“The Evaluation of Social Welfare for Payment Methods,” 2009 *Oxford Business & Economics Conference Proceedings*, June 2009.

“Another Look at Payment Instrument Economics,” 6 *Review of Network Economics* 4 (2007).

“The Telecom Boom and Bust: Their Losses, Our Gain?” with Hal Sider, *Milken Institute Review* (October 2007).

“Boom and Bust in Network Industries: Rising from the Ashes,” with Hal Sider, *International Journal of Business & Economics, Proceedings* (2006).

“The Economics of Interchange Fees,” with Alan Frankel, 73 *Antitrust Law Journal* 3 (2006).

“Handicapping Countries in the Race to Digital Switching,” 5 *Review of Network Economics* 2 (2006).

“The Evolution of Telecommunications Switching in the Central Office,” in Down to the Wire: Studies in the Diffusion and Regulation of Telecommunications Technologies, Nova Science Press (2003).

“The Welfare Implications of Advertising and Extension Under Uncertainty,” with George Tolley, *Technological Forecasting & Social Change* 70 (2003).

“Determinants of the Diffusion of U.S. Digital Telecommunications,” *Journal of Evolutionary Economics* 11 (2001).

“Compensating for Information Externalities in Technology Diffusion Models,” 80 *American Journal of Agricultural Economics* 2 (1998).

Contributor to Guide to the Western Ephemera Collection at the DeGolyer Library, Southern Methodist University, 1993, edited by Kristin Jacobsen.

“The Impact of Technology on the Modern Labor Market,” 11 *Southwestern Journal of Economic Abstracts* 1 (1990).

### **RESEARCH PAPERS**

“Estimating the Effects of the RBA Intervention on the ‘Two Sided Price’ of Credit Cards in Australia” (2011)

“An Evaluation of the Social Costs of Payment Methods Literature,” in submission with the Federal Reserve Bank of Philadelphia.

“An Evaluation of Online Investment Bank Research,” with Rajiv Gokhale (2011).

“A New Direction in Mixed Income Housing,” submitted to Chicago Housing Authority (1993).

“A Survey of the Economics of Information, Focusing on Water” (1992).

“Petroleum Price Shocks and Rationality,” B.S. Honors Paper (1991).

### **OTHER PROFESSIONAL EXPERIENCE**

Interviewed by *The Oregonian* for “Those credit card rewards cost us a lot of cash” (July 31, 2010).

Participant in “The Law and Economics of Interchange Fees and Credit Card Markets” symposium sponsored by International Center for Law & Economics (December 8-9, 2009).

“The Evaluation of Social Welfare for Payment Methods,” 2009 Oxford Business & Economics Conference (June 24-26, 2009).

Interviewed by *Cards Insider* for “Payments: Cash Replacement, Anonymity provides lifeline for cash over cards” (January 28, 2008).

“Boom and Bust in Network Industries: Rising from the Ashes,” 6<sup>th</sup> Global Conference on Business & Economics, Harvard University (October 15-17, 2006), with Hal S. Sider.

“House of Cards: The Economics of Interchange Fees,” Presentation to the Federal Reserve Bank of New York Conference, *Antitrust Activity in Card-Based Payment Systems: Causes and Consequences* (September 16, 2005), with Alan S. Frankel.

“The Impact of Technology on the Modern Labor Market,” 68th Annual Meeting of the Southwestern Social Science Association (March 29, 1990)

Presented papers on information externalities and technology diffusion at the *Economics and Public Policy Workshop* (3) and *Price Theory Workshop* (1), University of Chicago (1995, 1996)

Coordinated the *Conference on Valuing Non-Market Goods*, University of Chicago (July 21-22, 1995)

Assisted in coordinating the *Conference on Research in Health Economics*, University of Chicago (October 21-22, 1994)

Assisted in organizing the *Economic Policy and Public Finance Workshop*, University of Chicago (1993 - 1996)

Member of the *American Economics Association*

Associate member of the *American Bar Association*

Referee for the *Agricultural and Resource Economics Review*, *American Journal of Agricultural Economics*, *Antitrust Law Journal*, *Journal of Business* and *Journal of Evolutionary Economics*.

Finance Committee (2010 – date), Vestry (2007-2009), Treasurer (2006), St. Mary's Episcopal Church, Park Ridge

### **TESTIMONY**

Declaration, In Re Payment Card Interchange Fee and Merchant Discount Antitrust Litigation (Master File No. 1:05-MD-1720-JG-JO), February 10, 2011.

Declaration on behalf of the Port Authority of New York & New Jersey re CFC recovery fee, December 9, 2010 (with Fredrick Flyer).

Supplemental Declaration to the Federal Communications Commission, in the Matter of Implementation of Section 224 of the Act; A National Broadband Plan for Our Future (WC Docket No. 07-245), November 2, 2010 (with Jonathan Orszag).

Declaration to the Federal Communications Commission, in the Matter of Implementation of Section 224 of the Act; A National Broadband Plan for Our Future (WC Docket No. 07-245), October 4, 2010 (with Jonathan Orszag).

Declaration, In Re Gabapentin Patent Litigation (MDL No. 1384, Master Docket No. 00-CV-2931 (FSH)), March 29, 2010.

Reply Declaration to the Federal Communications Commission, In the Matter of Special Access Rates for Price Cap Local Exchange Carriers (WC Docket No. 05-25), February 24, 2010 (with Dennis Carlton and Hal Sider).

Reply Declaration to the Federal Communications Commission, Verizon Wireless / ALLTEL transaction (WT Docket No. 08-95), August 19, 2008 (with Dennis Carlton and Hal Sider).

Declaration to the Federal Communications Commission, Verizon Wireless / ALLTEL transaction (WT Docket No. 08-95), June 13, 2008 (with Dennis Carlton and Hal Sider).

Ex parte filing before the Federal Communications Commission on behalf of Verizon, “Verizon/MCI Merger: Analysis of Special Access,” September 9, 2005 (with Gustavo Bamberger and Dennis Carlton).

Comments to the New York Public Service Commission, In the Matter of the Joint Petition of Verizon Communications, Inc. and MCI, Inc. for a Declaratory Ruling Disclaiming Jurisdiction Over or, in the Alternative, for Approval of Agreement and Plan of Merger; and Joint Petition of SBC Communications Inc., AT&T Corporation, Together with its Certificated New York Subsidiaries, for Approval of Merger (CASE 05-C-0237 and CASE 05-C-0242), August 5, 2005 (with Gustavo Bamberger and Dennis Carlton).

Reply Declaration to the Federal Communications Commission, In the Matter of Verizon Communications Inc. and MCI, Inc., Application for Approval of Transfer of Control (WC Docket No. 05-75), May 24, 2005 (with Gustavo Bamberger and Dennis Carlton).

Declaration to the Federal Communications Commission, In the Matter of Verizon Communications Inc. and MCI, Inc., Application for Approval of Transfer of Control (WC Docket No. 05-75), March 9, 2005 (with Gustavo Bamberger and Dennis Carlton).

Reply Declaration to the Federal Communications Commission, In the Matter of Section 272(f)(1) Sunset of the BOC Separate Affiliate and Related Requirements (WC Docket No. 02-112) and 2000 Biennial Regulatory Review of Separate Affiliate Requirements of Section 64.1903 of the Commission’s Rules (CC Docket 00-175), July 28, 2003, (with Dennis Carlton and Hal Sider).

Declaration to the Federal Communications Commission, In the Matter of Section 272(f)(1) Sunset of the BOC Separate Affiliate and Related Requirements (WC Docket No. 02-112) and 2000 Biennial Regulatory Review of Separate Affiliate Requirements of Section 64.1903 of the Commission’s Rules (CC Docket 00-175), June 30, 2003, (with Dennis Carlton and Hal Sider).

Reply Declaration Re: 2000 Biennial Regulatory Review Spectrum Aggregation Limits for Commercial Mobile Radio Services, Before the Federal Communications Commission, Washington DC, WT Docket No. 01-14, May 14, 2001, Reply Declaration (with Robert Gertner).

Declaration Re: 2000 Biennial Regulatory Review Spectrum Aggregation Limits for Commercial Mobile Radio Services, Before the Federal Communications Commission, Washington DC, Docket No. 01-14, April 13, 2001, Declaration (with Robert Gertner).

Report to Directorate General IV of the European Commission: “Remedies in the United States,” in *Remedies in the United States*, in *Remedies in EU Competition Law: The Policy and Practice of the European Commission, A Report for Directorate General IV of the European Commission*, July 1998, Report (with James Langenfeld).



## **ACADEMIC HONORS**

### **Undergraduate:**

Graduated Summa Cum Laude, Honors, Departmental Distinction

Award for Excellence (given to the outstanding senior in the Economics Department as decided by the vote of the faculty)

Presidential Scholarship (full scholarship)

National Merit Scholar (honorary)

Hyer Society (honorary society of Southern Methodist University)

Honor Roll (1987-1991)

Phi Beta Kappa

Alpha Lambda Delta (Treasurer, honorary society recognizing academic achievement)

Phi Eta Sigma (honorary society recognizing academic achievement)

Omicron Delta Epsilon (international honor society in economics)

Kappa Mu Epsilon (honor society in mathematics)

### **Graduate:**

Full Scholarship (tuition and stipend)

**HAL SIDER**

Senior Vice President

**December 2010**

Business Address:     Compass Lexecon  
                              332 S. Michigan Ave.  
                              Suite 1300  
                              Chicago, IL 60604  
                              hsider@compasslexecon.com

(312) 322-0229

Home Address:         385 Ramsay Road  
                              Deerfield, IL 60015

(847) 405-0153

**EDUCATION**

Ph.D., UNIVERSITY OF WISCONSIN, Madison, Wisconsin: Economics, 1980.

M.A., UNIVERSITY OF WISCONSIN, Madison, Wisconsin: Economics, 1978.

B.A., UNIVERSITY OF ILLINOIS, Urbana, Illinois: Economics, 1976.

**EMPLOYMENT**

COMPASS LEXECON (formerly Lexecon), Chicago, Illinois (October 1985 - present):  
1985-90: Economist; 1990-1999: Vice President; 1999-current: Senior Vice  
President.

U.S. COMMISSION ON CIVIL RIGHTS, Washington, D.C., (August 1984 - October  
1985): Co-Director: Project on Minority Income Trends.

OFFICE OF POLICY: U.S. DEPARTMENT OF LABOR, Washington, D.C., (May 1982 -  
August 1984): Economist.

PRESIDENT'S TASK FORCE ON FOOD ASSISTANCE (on leave from U.S. Department  
of Labor), Washington, D.C., (September 1983 - February 1984): Research  
Associate.

OFFICE OF RESEARCH AND EVALUATION; BUREAU OF LABOR STATISTICS,  
Washington, D.C., (September 1980 - May 1982): Economist.

UNIVERSITY OF WISCONSIN, Madison, Wisconsin (1978 - 79): Teaching Assistant.

UNIVERSITY OF WISCONSIN, Madison, Wisconsin (1976 - 78): Science Writer.

## FIELDS OF SPECIALIZATION

Applied Microeconomics  
Damages  
Econometrics  
Industrial Organization  
Telecommunications

## ARTICLES

- “Net Neutrality and Consumer Welfare,” Journal of Competition Law and Economics (2010) (with Gary Becker and Dennis Carlton).
- “Regulation, Antitrust and *Trinko*,” in The Antitrust Revolution: Economics, Competition and Policy, J. Kwoka and L. White, eds. (2009) with Dennis W. Carlton
- “The Telecom Boom and Bust,” Milken Institute Review, October 2007 (with Allan Shampine).
- “Have Mergers of Large Local Exchange Carriers Led to Discrimination Against Rivals? An Empirical Investigation” July 2002 in Econometrics: Legal, Practical and Technical Issues, American Bar Association Section on Antitrust Law (2005) (with Dennis Carlton and Tom Stemwedel).
- “Recent Developments in U.S. Antitrust Enforcement,” The United States Antitrust Review, October 1999 (with Gustavo Bamberger).
- "Market Power and Vertical Restraints in Retailing: An Analysis of FTC v. Toys ‘R’ Us,” in The Role of the Academic Economist in Litigation Support, edited by Daniel Slotje (1999), with Dennis Carlton.
- "The Competitive Effects of Line-of-Business Restrictions in Telecommunications," Managerial and Decision Economics (1995), with Kenneth Arrow and Dennis Carlton. (Reprinted in R. Higgins and P. Rubin, eds., Deregulating Telecommunications: The Baby Bells' Case for Deregulation, Wiley Series in Managerial Economics, 1995.)
- "Applications of Economic Theory and Econometric Methods to Merger Review in the United States," (paper presented to European Commission Merger Task Force, 1992), with A. Rosenfield and W. Bishop.
- "Unemployment Incidence and Duration: 1968-1982," American Economic Review (June 1985).
- "The Pay Gap and Occupational Segregation: Implications for Comparable Worth," Proceedings of the Industrial Relations Research Association (1985), with June O'Neill.

- "Work-Related Accidents and the Production Process," Journal of Human Resources (Winter 1985).
- "Labor Force Participation and the Relative Earnings of Black and White Males: 1940-80," with Andy Sparks, (paper presented at the World Congress of the Econometric Society, 1985).
- "Comment on McIntyre: Estimating Long-Term Labor Market Flows from CPS Data," Proceedings: Conference on Applications of Gross Flow Data, U.S. Bureau of the Census (1985).
- "The Changing Makeup of the Military and the Effect on Labor Force Data," Monthly Labor Review (July 1984), with Cheryl Cole.
- "Accuracy of Response in Labor Market Surveys: Evidence and Implications," Journal of Labor Economics (October 1983), with Wesley Mellow.
- "Safety and Productivity in Underground Coal Mining," Review of Economics and Statistics (May 1983).
- "Economic Incentives and Safety Regulation," American Economist (Summer 1983).
- "Consumers and Product Safety: Market Processes and Imperfections," Policy Studies Journal (February 1983), with Eugene Smolensky.

### REPORTS

- The Economic Progress of Black Men in America, U.S. Commission on Civil Rights (1986).
- Economic Status of Americans of Eastern and Southern European Ancestry, U.S. Commission on Civil Rights (1986).
- Report of the President's Task Force on Food Assistance, Curran Press, Alexandria, Virginia (1984).

### MISCELLANEOUS

University-Industry Dissertation Fellowship, University of Wisconsin, 1979-80.

#### Referee for:

Journal of Human Resources  
Journal of Industrial Economics  
Journal of Labor Economics  
Journal of Law and Economics  
Journal of Legal Studies  
National Commission on Employment Policy

National Science Foundation  
Policy Studies Journal  
Review of Economics and Statistics  
Social Science Research Council  
U.S. Department of Health and Human Services  
Antitrust Law Journal

## TESTIMONIAL EXPERIENCE

American Hotline, LLC, Rauckman Utility Products, LLC, and James (Jim) Rauckman vs. Hubbell Incorporated, Hubbell Power Systems, Inc., et al., Case No. 08-L-454. Report (November 29, 2010), Supplemental Report (December 21, 2010), on behalf of Hubbell Incorporated, et al.

In the Matter of Special Access Rates for Price Cap Local Exchange Carriers, Federal Communications Commission, WC Docket No. 05-25. Declaration (January 19, 2010), (with Dennis Carlton), Reply Declaration (February 24, 2010), (with Dennis Carlton and Allan Shampine), on behalf of AT&T Inc.

In the Matter of Verizon Wireless and ALLTEL Holdings LLC, Federal Communications Commission, WT Docket 08-95. Declaration (June 13, 2008), Reply Declaration (August 19, 2008), on behalf of Verizon Wireless, (with Dennis Carlton and Allan Shampine).

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